

RECEIPT #3
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Schwalbe et al. Attorney Docket No: CELL0013
Serial No: 09/578,224 Group Art Unit: 1764
Filed: May 24, 2000 Examiner:

Title: MODULAR CHEMICAL PRODUCTION SYSTEM INCORPORATING A MICROREACTOR

REQUEST FOR CORRECTED FILING RECEIPT

Bellvue, Washington 98004

August 15, 2000

TO THE COMMISSIONER OF PATENTS AND TRADEMARKS:

Attn: Assistant Commissioner for Patents,
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

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A filing receipt issued in connection with the above-identified patent application contains an errors. A copy of the filing receipt, application transmittal letter, and executed Combined Declaration and Power of Attorney is enclosed. Correction is hereby requested.

The first error is in the city of the first inventor. Please delete "Vilbel" and insert therefor --Bad Vilbel--.

The second error is in the city of the third inventor. An "r" is missing from the second half of the city's name. Please delete "Maintal-Doenigheim" and insert therefor --Maintal-Doernigheim--

The third error is in the surname of the fourth inventor. Please delete "Holmann" and insert therefor --Hohmann--.

The fourth error is in the title. Please delete the misspelled word "system" and insert therefor --system--.

Respectfully submitted,

Ronald M. Anderson

Ronald M. Anderson
Registration No. 28,829

I hereby certify that this correspondence is being deposited with the U.S. Postal Service in a sealed envelope as first class mail with postage thereon fully prepaid addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on August 15, 2000.

Date: August 15, 2000

Kathy Parvino

FILING RECEIPT



OC000000005278280

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/578,224	05/24/2000	1764	960	CELL0013	10	71	7

Ronald M Anderson ESQ
600 108th Avenue NE
Suite 507
Bellevue, WA 98004**COPY**

Date Mailed: 07/28/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s)

Thomas Schwalbe, Vilbel, GERMANY;
Sebastian Oberbeck, Greifenstein, GERMANY;
Klaus Golbig, Maintal-Doenigheim, GERMANY;
Michael Holmann, Darmstadt, GERMANY;
Andreas Oberbeck, Wiesbaden, GERMANY;

R E C E I V E D
AUG 01 2000
RONALD M. ANDERSON
LAW OFFICES

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 07/28/2000

** SMALL ENTITY **

Title

Modular chemical production system incorporating a microreactor

Preliminary Class

422

Data entry by : DADE, JOAN

Team : OIPE

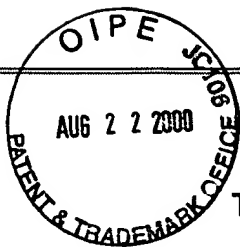
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KJ



LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

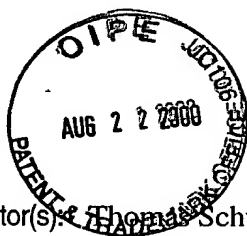
PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

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 Washington, DC 20231

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**UTILITY PATENT APPLICATION AND FEE TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. CELL0013

Date: May 24, 2000

Inventor(s): Thomas Schwalbe, Sebastian Oberbeck, Klaus Golbig, Michael Hohmann, and Andreas Oberbeck
 Title MODULAR CHEMICAL PRODUCTION SYSTEM INCORPORATING A MICROREACTOR

FULL NAME OF FIRST NAMED INVENTOR: Thomas Schwalbe COUNTRY OF CITIZENSHIP: Germany
 RESIDENCE ADDRESS OF INVENTOR: Lessingstrasse 3, D-61118 Bad Vilbel, Germany

FULL NAME OF SECOND NAMED INVENTOR: Sebastian Oberbeck COUNTRY OF CITIZENSHIP: Germany
 RESIDENCE ADDRESS OF INVENTOR: Dianaburgstrasse 19, D-35753 Greifenstein, Germany

FULL NAME OF THIRD NAMED INVENTOR: Klaus Golbig COUNTRY OF CITIZENSHIP: Germany
 RESIDENCE ADDRESS OF INVENTOR: Eichenheege 20, D-63477 Maintal-Doernigheim, Germany

FULL NAME OF FOURTH NAMED INVENTOR: Michael Hohmann COUNTRY OF CITIZENSHIP: Germany
 RESIDENCE ADDRESS OF INVENTOR: Dieburger Strasse 238, D-64287 Darmstadt, Germany

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

COPY

1. ☒ Fee Transmittal (BELOW)
2. ☒ Specification [Total Pages 40]
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10] **[FORMAL]**
4. ☒ Oath or Declaration [Total Pages 3]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) **[Note Item 5 below]**
 - ii. DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4b is check)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☐ Computer Readable Copy b. ☐ Paper Copy (identical to computer copy) c. ☐ Statement verifying identity of above copies**ACCOMPANYING APPLICATION PARTS**8. ☐ Assignment Papers (cover sheet & document(s))9. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney10. ☐ English Translation Document (if applicable)11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations12. ☐ Preliminary Amendment13. ☒ Return Receipt Postcard (MPEP 503) (Should be itemized specifically)14. ☒ *Small Entity Statement(s) ☐ Statement filed in prior application (PTO/SB/09-12) ☐ Status still proper and desired

*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

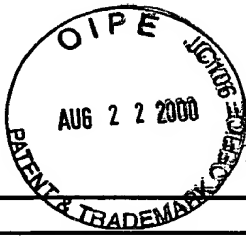
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)16. ☐ Other: _____17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: /

Prior application information: Examiner: _____ Group / Art Unit: _____

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18. CORRESPONDENCE ADDRESS

Correspondence address below:



Ronald M. Anderson
OFFICES OF RONALD M. ANDERSON
600 - 108th Avenue N.E., Suite 507
Bellevue, WA 98004

Telephone: 425-688-8816

Facsimile: 425-646-6314

FEE TRANSMITTAL

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number <u>01-1940</u> Deposit Account Name: <u>Law Offices of Ronald M. Anderson</u> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 & 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance		3. ADDITIONAL FEES (Continued) <table border="1"> <thead> <tr> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>Extension for reply within first month</td><td></td></tr> <tr><td>Extension for reply within second month</td><td></td></tr> <tr><td>Extension for reply within third month</td><td></td></tr> <tr><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>Notice of Appeal</td><td></td></tr> <tr><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>Request for oral hearing</td><td></td></tr> <tr><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>Design issue fee</td><td></td></tr> <tr><td>Plant issue fee</td><td></td></tr> <tr><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>Submission after final rejection (37 C.F.R. 1.129(a))</td><td></td></tr> <tr><td>Add'l invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>Other fee (specify)</td><td></td></tr> <tr> <td>SUBTOTAL (3)</td> <td>\$</td> </tr> </tbody> </table>		Fee Description	Fee Paid	Requesting publication of SIR after Examiner action		Extension for reply within first month		Extension for reply within second month		Extension for reply within third month		Extension for reply within fourth month		Extension for reply within fifth month		Notice of Appeal		Filing a brief in support of an appeal		Request for oral hearing		Petition to institute a public use proceeding		Petition to revive - unavoidable		Petition to revive - unintentional		Utility issue fee (or reissue)		Design issue fee		Plant issue fee		Petitions to the Commissioner		Petitions related to provisional applications		Submission of Information Disclosure Statement		Recording each patent assignment per property (times number of properties)		Submission after final rejection (37 C.F.R. 1.129(a))		Add'l invention to be examined (37 CFR 1.129(b))		Other fee (specify)		SUBTOTAL (3)	\$
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3. ADDITIONAL FEES Surcharge - late filing fee or oath Surcharge - late provisional filing fee or cover sheet Non-English specification Request for reexamination Requesting publication of SIR after Examiner action																																																			
TOTAL FEES ENCLOSED: \$ 960																																																			

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Typed/Printed Name

Ronald M. Anderson

Registration Number: 28,829

Signature

Ron Anderson

Date: May 24, 2000

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL542941119US

Date of Deposit: May 24, 2000

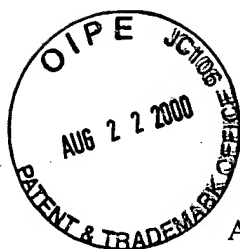
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Kathy L. Harris

(Name of person mailing paper/fee)

Kathy L. Harris
(Signature of person mailing paper or fee)

COPY



**COMBINED DECLARATION AND POWER OF ATTORNEY
IN PATENT APPLICATION**

Attorney Docket No: **CELL0013**

As a below-named inventor, I hereby declare that:

my residence, post office address and citizenship are as stated below next to my name;

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which patent is sought on the invention entitled: **MODULAR CHEMICAL PRODUCTION SYSTEM INCORPORATING A MICROREACTOR**, the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 (a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Foreign Serial Number(s)	Country	Date Filed	Priority Not Claimed	Certified Copy Attached?		Status
				YES	NO	
N/A						

I hereby claim the benefit under Title 35, United States Code Section 119(e) of any United States provisional application(s) listed below.

Provisional Application Serial Number(s)	Filing Date(s)
N/A	

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or Section 365(c) of any PCT international application designating the United States of America, listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

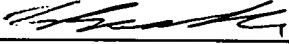
U.S. Parent Application Number(s)	PCT Parent Number(s)	Parent Filing Date(s)	Parent Patent Number(s) (if applicable)
N/A	N/A		

I hereby appoint the following attorney to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith: Ronald M. Anderson, Registration No. 28,829. Address all telephone calls to Ronald M. Anderson at telephone No. (425) 688-8816.


Address all correspondence to:

Ronald M. Anderson, Esq.
Law Offices Of Ronald M. Anderson
600 - 108th Avenue N.E., Suite 507
Bellevue, WA 98004

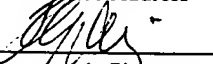
I hereby further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Thomas Schwalbe
Inventor's Full Name
Germany
Country of Citizenship
Lessingstrasse 3, D-61118 Bad Vilbel, Germany
Residence Address
Same as Above
Post Office Address

Inventor's Signature
05/11/2000
Date



Sebastian Oberbeck
Inventor's Full Name
Germany
Country of Citizenship
Dianaburgstrasse 19, D-35753 Greifenstein, Germany
Residence Address
Same as Above
Post Office Address

Inventor's Signature
05/11/2000
Date



Klaus Golbig
Inventor's Full Name
Germany
Country of Citizenship
Eichenheege 20, D-63477 Maintal-Doernigheim, Germany
Residence Address
Same as Above
Post Office Address

Inventor's Signature
05/11/2000
Date



Michael Hohmann Germany
Inventor's Full Name Country of Citizenship
Dieburger Strasse 238, D-64287 Darmstadt, Germany
Residence Address
Same as Above
Post Office Address
Michael Hohmann 05.11.00
Inventor's Signature Date



Andreas Oberbeck Germany
Inventor's Full Name Country of Citizenship
Hundsgasse 6, D-56205 Wiesbaden, Germany
Residence Address
Same as Above
Post Office Address
A. Oberbeck 05/11/00
Inventor's Signature Date